



Self-Assessment Review

For non-club societies

NAME OF SOCIETY

GM LICENCE NUMBER

DECLARATION

To be completed by the Chair of Trustees and Chief Executive Officer or General Manager:

We,

	Full name	,		Occupation and place of abode
	Full name	,		Occupation and place of abode

Solemnly and sincerely declare that:

- All the details entered in, or provided with, this Self-Assessment Review are true and correct.
- We understand that if we have provided false or misleading information, the society may have its licence cancelled.
- We have read and understand the relevant regulatory requirements. If needed, we have obtained / will obtain legal advice to ensure compliance with these requirements.

And we make this solemn declaration conscientiously believing the same to be true and by virtue of the Oaths and Declarations Act 1957.

Declared at _____ this _____ day of _____ 20____

Place Day Month Year

Signature: _____ Signature: _____

Before me: _____

Full name

Signature: _____

Solicitor, Justice of the Peace or other person authorised to take a statutory declaration

Disclaimer

The completion of this Self-Assessment Review does not infer compliance or otherwise with the Gambling Act 2003 or related regulations, licence conditions, Game Rules or minimum standards currently in force for the operation of gaming machines. The responsibility for ensuring compliance with the requirements, including public accountability and the implementation and monitoring of internal and management controls, rests with the society. The level of compliance by any society will be determined by reviews undertaken by the Department of Internal Affairs.

G a m b l i n g C o m p l i a n c e G r o u p

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INTRODUCTION

Class 4 gambling has been authorised by Parliament subject to intensive legislative and regulatory control.

The Department of Internal Affairs (the Department) is required to ensure that licensed operators comply with all legislative and regulatory requirements.

Licensed operators, i.e. societies and venues, are required to comply with their statutory and regulatory obligations.

This Self-Assessment Review tool has been designed to give societies and the Department assurance that obligations are being complied with.

WHAT THE DEPARTMENT EXPECTS TO SEE IS EVIDENCE OF:

- Appropriate policies;
- Appropriate procedures to implement policies;
- Records of assurance checks which verify compliance with policies and procedures.

IN PARTICULAR THIS TOOL PROVIDES SOCIETIES WITH AN ABILITY TO:

- test their own levels of compliance of their gaming machine operation with the requirements of the Gambling Act 2003 (the Act), related regulations, licence conditions and Game Rules;
- identify areas where internal policies, systems and procedures should be developed, enhanced or strengthened; and
- put measures in place immediately to rectify any areas of non-compliance identified.

THE PURPOSES OF THE ACT ARE:

- to control the growth of gambling;
- to prevent and minimise the harm caused by gambling, including problem gambling;
- to authorise some gambling and prohibit the rest;
- to facilitate responsible gambling;
- to ensure the integrity and fairness of games;
- to limit the opportunities for crime or dishonesty associated with gambling;
- to ensure that money from gambling benefits the community; and
- to facilitate community involvement in decisions about the provision of gambling.

WHAT WE WOULD LIKE SOCIETIES TO DO

Please fully complete this Self-Assessment Review, and return it to your local compliance office, along with any other records requested for your audit, within the time frame specified in the covering audit notification letter.

The responses in this Self-Assessment Review should reflect the society's position at the time of its completion. Societies are expected to have sufficient policies, systems and processes in place, evidenced by supporting documentation and records, to ensure compliance with the Act.

The Department strongly suggests that societies utilise this document on a regular and on-going basis to ensure that a satisfactory level of compliance and adherence to policies, systems and procedures is maintained.

WHAT THE DEPARTMENT WILL DO WITH THIS INFORMATION

This Self-Assessment Review is based on the Department's own audit checklist used in testing compliance of a society's gaming machine operation. The completion of this document will coincide with the planning of the Department's compliance audit of the society, and an assessment of the responses will:

- form part of the planning phase;
- assist the Department in determining the focus of the audit; and
- be utilised in updating the compliance profile of the society.

In order to ensure consistency across the sector, this document is for all societies to complete, for assessment by the Department.

The Department will sample the self-reported information in this document. The results of this will be incorporated in an audit report issued at the completion of the compliance audit.

It is important to note, however, that this document on its own is not an enforcement tool, rather, to be seen as a tool used to support societies' voluntary compliance with the Act.

There may be instances where the Department can offer advice to help raise the society's level of compliance. If you need assistance or have any questions on matters not covered in this document, please contact your local compliance office.

The Department produces comprehensive information on a wide variety of topics relating to gambling. This can be accessed online at www.gaming.dia.govt.nz.

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KEY (TICK IN APPLICABLE BOX)

Yes	No
-----	----

Responses in 'shaded' areas may indicate that changes to your policies and procedures are required. Where you respond in a 'shaded' area, please record your actions to rectify in the 'Explanation for variance' area at the end of each section.

GLOSSARY

GA	Gambling Act 2003	OLC	Class 4 Operator's Licence Conditions
GR	Gambling Act (Class 4) Game Rules 2006	VEGN	Venue Expenses Gazette Notice
HPM	Gambling (Harm Prevention and Minimisation) Regulations 2004	VLC	Class 4 Venue Licence Conditions
NPR	Gambling (Class 4 Net Proceeds) Regulations 2004	GMP	Gaming Machine Profits
BR	Gambling (Class 4 Banking) Regulations 2006	GMA	Gaming Machine Analysis
MS	Minimum Standards	WVAR	Weekly Venue Activity Report
		WGMPR	Weekly Gaming Machine Profit Report

1. VENUE COMPLIANCE

The Department expects societies to have procedures in place to regularly review the level of compliance at all venues at which gaming machines are operated. The society must be able to demonstrate through its record keeping that its assurance checks against their policies and procedures ensure that venue operators and managers are complying with the requirements of legislation and regulations.

VENUE SIGNAGE / INFORMATION TO BE DISPLAYED (ALL VENUES)

Does the society have policies, procedures and assurance checks in place to ensure that:

Please tick applicable box

• All venue managers display the current venue licence commencement and expiry dates?	GA 82(1)(a)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• The venue licence holder contact details are displayed?	GA 82(1)(b)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• A notice is displayed informing players that information about the application or distribution of net proceeds to or for authorised purposes may be obtained from the licence holder's website or by contacting the licence holder?	NPR 7	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• Signage is displayed that:			
(a) provides details of how and where to apply for a grant?	GA 82(1)(c)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(b) provides details of where to complain if an application for a grant is unsuccessful?	GA 82(1)(c)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(c) provides a statement that your venue personnel are not involved in the grant process?	GA 82(1)(c)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(d) provides details of how and where to complain about class 4 gambling at the venue or about a class 4 licence holder?	GA 82(1)(d)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• The society's venue(s) do not advertise the word 'casino' or any similar word or get-up that conveys the impression that the place is a Casino and accessible to the public?	GA 121(1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• The society's venue(s) do not advertise the word 'jackpot' in a way that implicitly conveys the impression that there is a gaming machine jackpot at the venue(s)	HPM 10(2)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• Any jackpot display and/or advertising within the venue(s) is only visible and audible inside the venue(s)?	HPM 9(2)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• A jackpot instruction notice is displayed (if a jackpot is operated) that conforms to the requirements of the Game Rules?	GR 28(c), 29	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• A notice is displayed advising that a policy exists for identifying problem gamblers and that a copy of the policy will be made available on request?	GA 308(3)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• Pamphlets are available containing information on the odds of winning etc?	HPM 11(a)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• Signage is displayed encouraging play at affordable levels and how to seek assistance?	HPM 11(b)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• All signage is displayed in the correct location? (i.e. on a sign immediately outside the principal entrance to the venue(s) or outside each main entrance to the gambling area.)	GA 82(3), NPR 7	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Continued on next page

Explanation for variance:

CASH FLOATS (ALL VENUES)

Does the society ensure and check that:

- | | | | | |
|---|---|---|-----|----|
| <ul style="list-style-type: none"> • A cash float is provided by the venue operator solely for the gaming machine operation, that is kept separate from all other floats, and funded from a source other than GMP? • The cash float is sufficient to enable all Hopper Refills and Cancelled Credits to be paid, and for the banking of GMP? • All transactions are recorded and reconciled at least every 7 days? • All Hopper Refill, Cancelled Credit etc payments are made from the gaming machine float? | GR 13, 16(a) | Please tick applicable box | | |
| | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">Yes</td> <td style="width: 50%; text-align: center;">No</td> </tr> </table> | Yes | No |
| | Yes | No | | |
| | GR 15 | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">Yes</td> <td style="width: 50%; text-align: center;">No</td> </tr> </table> | Yes | No |
| Yes | No | | | |
| GR 16(b), (c) | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">Yes</td> <td style="width: 50%; text-align: center;">No</td> </tr> </table> | Yes | No | |
| Yes | No | | | |
| GR 39, 43 | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">Yes</td> <td style="width: 50%; text-align: center;">No</td> </tr> </table> | Yes | No | |
| Yes | No | | | |

Explanation for variance:

PRIZES PAID BY CHEQUE (IF ANY)

Does the society have policies, procedures and assurance checks in place to ensure that:

- | | | | | |
|--|----------|---|-----|----|
| <ul style="list-style-type: none"> • Cheques are drawn from an account other than a personal account or the dedicated GMP account? • Such an account is reimbursed from cash clearances? | GR 44(1) | Please tick applicable box | | |
| | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">Yes</td> <td style="width: 50%; text-align: center;">No</td> </tr> </table> | Yes | No |
| Yes | No | | | |
| | GR 44(2) | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">Yes</td> <td style="width: 50%; text-align: center;">No</td> </tr> </table> | Yes | No |
| Yes | No | | | |

Explanation for variance:

KEY SECURITY / DISPUTES (ALL VENUES)

Does the society ensure and check that:

- The venue manager maintains a Key Register that is up-to-date and accurate, and which fully reflects the requirements of the Game Rules?
- Player Dispute and Unpaid Prize Reports are completed as required?

GR 17(2),
106(2)

Please tick applicable box

Yes	No
-----	----

GR 84(1),
84(3)(c), 85(a),
91

Yes	No
-----	----

Explanation for variance:

GAMING MACHINE EQUIPMENT AND SECURITY (ALL VENUES)

Does the society have policies, procedures and assurance checks in place to ensure that:

- The machines/games operated at all venues operated by the society match those approved for use as listed on the venue(s) licence?
- All bank note acceptors only accept up to \$20 notes?
- All bank note acceptors are securely fixed to the cabinets and the cages locked?
- All main gaming machine cabinets are securely fixed to the bases?

GA 70(i)(h)

Yes	No
-----	----

GA 84(1)

Yes	No
-----	----

MS, GA 327

Yes	No
-----	----

MS, GA 327

Yes	No
-----	----

Do all venue operators have a security system in place to ensure that:

- all gaming machine and gambling equipment is securely locked at all times?
- there are no apertures allowing for unauthorised access to the internal components of the machines?
- all hopper covers are securely fixed?
- all hard meters are working?
- All gaming machine logic compartments, EMS site controller and jackpot controller are fitted with an intact security seal?
- Gaming equipment faults are properly recorded and the process for dealing with faults etc is followed on a timely basis? (inc. where applicable, notifying the EMS helpdesk)
- The password security policy is in place and implemented for EMS?
- The EMS site controller, jackpot controller & router (NTU) are powered on at all times?

GR 21(a)

Yes	No
-----	----

MS, GA 327

Yes	No
-----	----

MS, GA 327

Yes	No
-----	----

MS, GA 327

Yes	No
-----	----

GR 19, 107,
MS

Yes	No
-----	----

GR 20, 21, 22,
76, 80, 83, 84,
89, 94, 95,
110, 122

Yes	No
-----	----

GR 111

Yes	No
-----	----

GR 105, 122

Yes	No
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Continued on next page

Please tick applicable box

-
-
-

Explanation for variance:

JACKPOT REQUIREMENTS (ALL VENUES WHERE A JACKPOT IS OPERATED)

Does the society have policies, procedures and assurance checks in place to ensure that:

-
-
-
-
-
-
-
-
-

Explanation for variance:

2. RECORDS AND BANKING

The society is required to keep up-to-date and accurate records in relation to all areas of its gaming machine operation. It must also ensure that all gaming machine profits are properly accounted for and banked into its dedicated bank account within the required timeframe. The society must have a process to monitor the banking from all venues through EMS reports, promptly advise the Department of all instances where banking is late, and of the action taken to recover any gaming machine profits not banked.

RECORD KEEPING

Does the society have policies, procedures and assurance checks in place to ensure that:		Please tick applicable box
• Venue Managers access the venue’s EMS website daily to check the EMS report?	GR 103(1)	<input type="checkbox"/> Yes <input type="checkbox"/> No
• The society accesses its EMS website daily to check the relevant EMS reports?	GR 103(2)	<input type="checkbox"/> Yes <input type="checkbox"/> No
• The Department’s standard forms are used for recording all gaming machine transactions?	GR 23	<input type="checkbox"/> Yes <input type="checkbox"/> No
• The correct Cash Clearance procedures are followed (including 1 report per machine) at all venues?	GR 32-38	<input type="checkbox"/> Yes <input type="checkbox"/> No
• The correct Cancelled Credit, Short Pay and Hopper Refill procedures are followed (including 1 report per machine) at all venues?	GR 39-43, 45-52	<input type="checkbox"/> Yes <input type="checkbox"/> No
• The correct procedures are followed for recording information from the gambling equipment meters?	GR 117	<input type="checkbox"/> Yes <input type="checkbox"/> No
• If applicable, manually-calculated WGMPRs are completed when EMS reports are unavailable?	GR 126	<input type="checkbox"/> Yes <input type="checkbox"/> No
• A clear audit trail is maintained to verify any adjustments made to EMS records?	GR 133	<input type="checkbox"/> Yes <input type="checkbox"/> No
• GMAs are accurately completed at the required intervals?	GR 60, 128, 130	<input type="checkbox"/> Yes <input type="checkbox"/> No
• GMAs are also accurately completed for the purpose of:		
(a) servicing of gaming machines (RAM clear)?	GR 27	<input type="checkbox"/> Yes <input type="checkbox"/> No
(b) testing of gaming equipment?	GR 27	<input type="checkbox"/> Yes <input type="checkbox"/> No
(c) installation or removal of gaming machines?	GR 26	<input type="checkbox"/> Yes <input type="checkbox"/> No
(d) faulty or malfunctioning gaming machines?	GR 60	<input type="checkbox"/> Yes <input type="checkbox"/> No
(e) suspected irregularities in cash transactions (inc. shortpays)?	GR 60, 61	<input type="checkbox"/> Yes <input type="checkbox"/> No
• Source information is used when completing GMAs (Cash Clearance, Cancelled Credit, hopper Refill Reports and actual hopper count)?	GR 62, 132	<input type="checkbox"/> Yes <input type="checkbox"/> No
• All anomalies exceeding \$10 are investigated?	GR 64, 93	<input type="checkbox"/> Yes <input type="checkbox"/> No
• All documents relating to the conduct of the class 4 gambling are retained for a period of not less than 7 years from the date they were compiled?	NPR 5(5)	<input type="checkbox"/> Yes <input type="checkbox"/> No

Continued on next page

Explanation for variance:

BANKING OF GAMING MACHINE PROFITS (GMP)

Does the society have policies, procedures and assurance checks in place to ensure that:

Please tick applicable box

• GMP is calculated on a Monday, as required by the Game Rules?	GR 123, 124	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• GMP is banked as per the amount shown on Weekly Venue Activity Reports (WVAR) or WGMPR if WVAR was not available?	GA 104; BR 4 GR 125, 126	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• GMP is banked every week within 5 working days of calculation (i.e. by the following Friday)?	GA 104; BR 4	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• If profits are banked more frequently than weekly, that the interim bankings plus the final banking for the period recorded on the Weekly Banking Reconciliation report equal GMP for the period?	GR 59, 127	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• The society has a dedicated bank account for the banking of GMP?	GA 104(1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• Full details are maintained of all deposits and withdrawals, and there is a clear audit trail to source records/documents through annotated bank statements or other records?	NPR 5(3)(f)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• The Department is notified of all late banking and of the action taken by the society?	GR 98(c)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• Gaming machines are disconnected immediately following a failure to bank GMP within 5 working days, and that they remain disconnected until all required GMP is banked?	GA 104(3)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• All interest income is retained in the GMP account?	GA 105(3)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
• Unpaid prizes or court award refunds are treated as specified in the Game Rules?	GR 85, 97	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Explanation for variance:

ELECTRONICALLY-GENERATED REPORTS (EXCEPT EMS REPORTS)

Does the society have policies, procedures and assurance checks in place to ensure that:

Please tick applicable box

- Electronically-generated reports meet the requirements of the Department’s Standard Forms? GR 24
- The Game Rules procedures are followed for gathering/analysing data? GR 24
- Source records are retained with the relevant forms as specified in the Game Rules? GR 24
- Records are printed on day of compilation, checked, signed and dated as specified in the Game Rules? GR 24

Yes	No
-----	----

Yes	No
-----	----

Yes	No
-----	----

Yes	No
-----	----

Explanation for variance:

VENUE AGREEMENTS

Does the society have evidence that:

- A current venue agreement is in place for each of the venue(s) at which the society operates gaming machines that includes: GA 65(3), 69
 - (a) a schedule signed by the venue manager and the venue operator setting out the full name, date of birth and contact details of the venue manager, and the gambling-related duties and responsibilities of the venue manager;
 - (b) an itemised list of actual costs associated with the operation of the class 4 gambling at the venue;
 - (c) an expiry date no later than 3 years after the date of the venue agreement;
 - (d) the signatures of the corporate society and the venue operator.
- Documentation is available to support the itemised costs?
- Are all changes to the venue agreement(s) that affect the venue(s) licence(s) notified to the Department? GA 71, 73

Yes	No
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Yes	No
-----	----

Yes	No
-----	----

Yes	No
-----	----

Yes	No
-----	----

Yes	No
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Explanation for variance:

3. HARM PREVENTION AND MINIMISATION

The purpose of the Act includes the prevention and minimisation of the harm caused by gambling and the facilitation of responsible gambling. The society is required to develop a policy for identifying problem gamblers, take all reasonable steps to use the policy to identify actual or potential problem gamblers, and all venues must display a notice that states a copy of the policy will be made available on request. The society has a responsibility to ensure that gambling in all venues is conducted responsibly, that potential harm to players is minimised, that staff trained in problem gambling awareness are present, and that assistance is offered to people who may be experiencing gambling problems. The Secretary must be satisfied that these outcomes will be achieved in all venues before a new licence is granted or an existing licence is renewed. This is a focus area for the Department when conducting its compliance activities.

SOCIETY REQUIREMENTS

Does the society have policies, procedures and assurance checks in place to ensure that:

Please tick applicable box

- The society’s problem gambling policy is in place and properly applied at society venue(s)? GA 308

Yes	No
-----	----

- The society’s problem gambling policy includes the required procedures for excluding problem gamblers? GA 308 - 311, 316

Yes	No
-----	----

This should include, as a minimum:

- (a) venue-based indicators of problem gambling;

Yes	No
-----	----

- (b) self-exclusion procedures;

Yes	No
-----	----

- (c) procedures for venue-initiated exclusions;

Yes	No
-----	----

- (d) procedures for dealing with persons who enter the gambling area in breach of an exclusion order.

Yes	No
-----	----

- The society has provided training in problem gambling awareness to Venue Managers and sufficient other employees at the venue(s) so as to ensure a suitably-trained employee is present at all times that the gaming machines are in operation? HPM 12(1)(a)

Yes	No
-----	----

Is the training sufficient so that:

- (a) venue employees know what information to give to persons they consider, on reasonable grounds, to be actual or potential problem gamblers? HPM 12(2)

Yes	No
-----	----

- (b) all minimum requirements of HPM 12(2) are met? HPM 12(2)

Yes	No
-----	----

- (c) new venue employees are trained as required to an appropriate level?

Yes	No
-----	----

- The society’s venue(s) are “suitable” in terms of location, primary activity, etc? HPM 4

Yes	No
-----	----

Explanation for variance:

4. GOVERNANCE AND MANAGEMENT

The society's sole objective in operating gaming machines is to raise funds for the community within the framework set out in legislation. Proper management is essential in ensuring the society discharges its responsibilities under the Act of maximising funds available for distribution. The Department considers that good governance and control of the society's activities by the Trustees is a good indicator of voluntary compliance, provided that policies and procedures cover all areas of your gaming machine operation and are properly implemented and regularly reviewed. Governance and Management is a key area of focus of all compliance activities undertaken by the Department.

Does the society have policies, procedures and assurance checks in place to ensure that:

Please tick applicable box

- | | | | | |
|---|--------|--|-----|----|
| <ul style="list-style-type: none"> The society's Key Person records are complete and up-to-date? | GR 90 | <table border="1" style="border-collapse: collapse;"> <tr> <td style="padding: 2px;">Yes</td> <td style="padding: 2px;">No</td> </tr> </table> | Yes | No |
| Yes | No | | | |
| <ul style="list-style-type: none"> All significant society and venue Key Person changes have been notified to the Department? | GA 71 | <table border="1" style="border-collapse: collapse;"> <tr> <td style="padding: 2px;">Yes</td> <td style="padding: 2px;">No</td> </tr> </table> | Yes | No |
| Yes | No | | | |
| <ul style="list-style-type: none"> Procedures are in place to prevent Key Persons from receiving an advantage or benefits from grant recipients, potential grant recipients or a person that sells, repairs, services or maintains gambling equipment if the receipt has a condition attached to it? | GA 118 | <table border="1" style="border-collapse: collapse;"> <tr> <td style="padding: 2px;">Yes</td> <td style="padding: 2px;">No</td> </tr> </table> | Yes | No |
| Yes | No | | | |

Does the society ensure and check that:

- | | | | |
|--|--|-----|----|
| <ul style="list-style-type: none"> All internal policies and procedures covering all operational areas of the society are documented? | <table border="1" style="border-collapse: collapse;"> <tr> <td style="padding: 2px;">Yes</td> <td style="padding: 2px;">No</td> </tr> </table> | Yes | No |
| Yes | No | | |
| <ul style="list-style-type: none"> The policies and procedures are reviewed on a regular basis (e.g. annually)? | <table border="1" style="border-collapse: collapse;"> <tr> <td style="padding: 2px;">Yes</td> <td style="padding: 2px;">No</td> </tr> </table> | Yes | No |
| Yes | No | | |
| <ul style="list-style-type: none"> The policies and procedures satisfy the requirements of the Act? | <table border="1" style="border-collapse: collapse;"> <tr> <td style="padding: 2px;">Yes</td> <td style="padding: 2px;">No</td> </tr> </table> | Yes | No |
| Yes | No | | |
| <ul style="list-style-type: none"> The policies and procedures are sufficiently robust for the size of your operation? | <table border="1" style="border-collapse: collapse;"> <tr> <td style="padding: 2px;">Yes</td> <td style="padding: 2px;">No</td> </tr> </table> | Yes | No |
| Yes | No | | |
| <ul style="list-style-type: none"> All policies and procedures are being fully implemented? | <table border="1" style="border-collapse: collapse;"> <tr> <td style="padding: 2px;">Yes</td> <td style="padding: 2px;">No</td> </tr> </table> | Yes | No |
| Yes | No | | |

Are there other policies and procedures that, if implemented, would improve good business practice within the society? (If Yes, the Department expects that measures are in place to implement these policies and procedures.)

Yes	No
-----	----

Where management companies are contracted, is supporting documentation as to their engagement available?

Yes	No
-----	----

Explanation for variance:

5. EXPENSES

The Act requires the society to maximise returns to the community and minimise the operating costs of conducting gambling. This includes the reimbursement of costs to venue operators, and all other operating costs, for which the Department expects there to be clear policies and guidelines laid down by the society in order to comply with the Act. This is an ongoing requirement that must be satisfied at annual licence renewal time and during audits or investigations.

VENUE EXPENSES

- Please tick applicable box
- Do society documents and records show that all transactions between the society and its employees, service providers and venue staff and all people and entities involved in the society's class 4 gaming are appropriate and fully compliant with the law?

Yes	No
-----	----

 - Does the society have documented policies and procedures to show that:
 - (a) full records of venue expense payments and claims for goods/services are maintained and up-to-date? NPR 5(2)(b), 5(3)(b)

Yes	No
-----	----

 - (b) all venue costs are Actual, Reasonable and Necessary to the gaming machine operation? GA 4 (definition of net proceeds); VEGN

Yes	No
-----	----

 - (c) all venue payments are within the Gazetted limits A, B, C, D? GA 116; VEGN

Yes	No
-----	----

 - (d) the itemised list of costs in the Venue Agreement(s) are evidenced with supporting documents? GA 69(1)(b); VEGN

Yes	No
-----	----

 - (e) venue expense payments are made by cheque or direct bank payment OLC

Yes	No
-----	----

OTHER OPERATING EXPENSES

Does the society have policies, procedures and assurance checks in place to ensure that:

- (a) Full records of expense payments and claims for goods and services are maintained and accessible? NPR 5(2)(b), 5(3)(b)

Yes	No
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- (b) All expenses are Actual, Reasonable and Necessary to the gaming machine operation? GA 4 (definition of net proceeds)

Yes	No
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- (c) All expense payments are made by cheque or direct bank payment? OLC

Yes	No
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- (d) All payments to suppliers are based on a written contract? NPR 5(4)

Yes	No
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- (e) All expenditure is assessed against the requirement to maximise net proceeds and minimise operating costs? GA 52(1)(d)

Yes	No
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Explanation for variance:

6. GRANTS PROCESS

The Act specifies that the net proceeds from class 4 gambling will be applied to or distributed for Authorised Purposes. A Net Proceeds Committee must approve the distribution of net proceeds, and ensure that funds are approved only for your stated authorised purposes in accordance with your policy.

Does the society have policies, procedures and assurance checks in place to ensure that:		Please tick applicable box		
(a) a Net Proceeds Committee has been established to approve grants?	NPR 8	<table border="1"><tr><td>Yes</td><td>No</td></tr></table>	Yes	No
Yes	No			
(b) the application or distribution of net proceeds are made only to or for an authorised purpose specified on the society licence?	GA 106(1); NPR 14	<table border="1"><tr><td>Yes</td><td>No</td></tr></table>	Yes	No
Yes	No			
(c) the society's grant application form conforms to the minimum requirements?	NPR 17	<table border="1"><tr><td>Yes</td><td>No</td></tr></table>	Yes	No
Yes	No			
(d) full records are kept by the Net Proceeds Committee for each grant made?	NPR 15	<table border="1"><tr><td>Yes</td><td>No</td></tr></table>	Yes	No
Yes	No			
• Does the Net Proceeds Committee have effective documented systems for evaluating grant applications, in particular that:	GA 113, 118; NPR 16	<table border="1"><tr><td>Yes</td><td>No</td></tr></table>	Yes	No
Yes	No			
(a) grant applications are fully completed?		<table border="1"><tr><td>Yes</td><td>No</td></tr></table>	Yes	No
Yes	No			
(b) supporting documentation is supplied?		<table border="1"><tr><td>Yes</td><td>No</td></tr></table>	Yes	No
Yes	No			
(c) they are not retrospective or promissory in nature?		<table border="1"><tr><td>Yes</td><td>No</td></tr></table>	Yes	No
Yes	No			
(d) no grant funds are spent at venues?		<table border="1"><tr><td>Yes</td><td>No</td></tr></table>	Yes	No
Yes	No			
(e) there are no conditions placed on the grant recipient?		<table border="1"><tr><td>Yes</td><td>No</td></tr></table>	Yes	No
Yes	No			
(f) there is no involvement of key venue persons, or arrangements between grant applicants, venues or key persons in the society?		<table border="1"><tr><td>Yes</td><td>No</td></tr></table>	Yes	No
Yes	No			
• Does the society have documents or records that show:				
(a) payments are made by cheque or direct bank payment directly to the grant recipient?	NPR 16(f), (i)	<table border="1"><tr><td>Yes</td><td>No</td></tr></table>	Yes	No
Yes	No			
(b) appropriate action is taken when instances of "double dipping" or mis-use of funds become apparent?	NPR 12, 16(d)	<table border="1"><tr><td>Yes</td><td>No</td></tr></table>	Yes	No
Yes	No			
(c) all publication requirements are adhered to? (Refer also to website requirements - page 13)	GA 110, NPR 13(2)(c), 13(3)	<table border="1"><tr><td>Yes</td><td>No</td></tr></table>	Yes	No
Yes	No			
• Does the society have documents or records that show audits of grant recipients are undertaken?	NPR12	<table border="1"><tr><td>Yes</td><td>No</td></tr></table>	Yes	No
Yes	No			
• Are all or nearly all net proceeds distributed at least every quarter during the society's financial year, and any remainder within 3 months after the end of the society's financial year?	NPR 11	<table border="1"><tr><td>Yes</td><td>No</td></tr></table>	Yes	No
Yes	No			
• Does the society have policies and procedures in place to assist grant applicants to make quality grant applications?		<table border="1"><tr><td>Yes</td><td>No</td></tr></table>	Yes	No
Yes	No			
• Does the society's grants process ensure that the required minimum return to AP for each financial year is achieved?		<table border="1"><tr><td>Yes</td><td>No</td></tr></table>	Yes	No
Yes	No			

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Peer reviewed by:

Inspector name: _____

Name: _____

Signature: _____

Signature: _____

Date: ____ / ____ / ____

Date: ____ / ____ / ____